



DEPARTMENT OF STATE

Washington, D.C. 20520

SEP 20 1977

MEMORANDUM FOR: SEE LIST OF ADDRESSEES

SUBJECT: Coordination of Foreign Affairs Research
Sponsored by the Federal Government

REFERENCE: Enclosed NSC Memorandum of April 27, 1977

Secretary Vance has asked me to represent him in discharging his responsibility for the coordination of foreign affairs external research sponsored by the Federal Government (see Tab A). The purpose of this memorandum is simply to ask you to designate a representative to work with me and other agency representatives in this Government-wide endeavor. I would appreciate your passing on the more detailed material which is attached to your designee as background for a meeting we will call later in the fall.

Because of previous interagency efforts, the essential instruments of coordination are already in place in my Bureau's Office of External Research (XR). With the active cooperation of numerous departments and agencies, XR provides information, document, and publication services designed to assist research managers and policy officers in the Executive Branch to: (1) draw more readily upon the products and performers associated with research supported by all agencies; (2) identify opportunities for cooperative projects; and (3) minimize duplication of analytical effort. (Page 3 of Tab B contains additional information on these services.) In addition, there is an active interagency communications network among research managers in this field for ad hoc cooperation as needs arise.

In the new phase of interagency coordination upon which we are entering, I believe we can most productively concentrate on using the existing services and extending our network so we can take common or coordinated action as needed. Some agencies will clearly be more centrally and broadly involved than others, but the national interest will be served more fully if all agencies participate.

We will look to your representative for a related function as well. As a result of a Presidential directive, since 1965 there have been agreed procedures through which the Secretary of State seeks "to assure the propriety of Government-

-2-

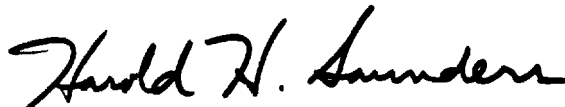
sponsored social science research in the area of foreign policy." These procedures and agency responsibilities under them are summarized at Tab C. You will note that each agency is required to designate a clearance point for the foreign affairs research it sponsors. I would like to ask that you locate this responsibility in the same person who will represent you in matters of interagency coordination. This will facilitate my task in discharging on behalf of the Secretary of State his responsibilities for these matters.

To assist you in designating your representative, I have included at Tab D a list of our present agency contacts. In making a designation, I suggest you also consult the sections on substance, approaches, and types of research at Tab B. The critical point is that your representative be in a position to be apprised of all foreign affairs external research in your agency's programs and be sensitive to the policy dimensions and implications of your sponsored research.

Although I foresee little need for frequent or even a regular pattern of meetings, I do plan to call an initial meeting of all agency representatives in October or November. The purpose will be to inform them more fully of existing services and practices and to solicit their ideas on our future work together. It would, therefore, be helpful if you could designate your representative on or before October 10. This information should be addressed to:

Mrs. Barbara Morlet
Deputy Director for Research Services
Office of External Research
Room 432 SA-6
Department of State
Washington, D.C. 20520
Tel: (703) 235-8079

If your office has questions arising from this memorandum, please call Dr. E. Raymond Platig, Director of the Office of External Research, at 632-1342, or Mrs. Morlet.


Harold H. Saunders

Attachments:

- Tab A - NSC Memorandum of April 27, 1977
- Tab B - External Research on Foreign Affairs and Foreign Policy
- Tab C - Department of State Review of Government-Sponsored Research on Foreign Affairs
- Tab D - Agency Contacts

TO: The Secretary of Defense
 The Secretary of the Treasury
 The Attorney General
 The Secretary of the Interior
 The Secretary of Agriculture
 The Secretary of Commerce
 The Secretary of Labor
 The Secretary of Health, Education, and Welfare
 The Secretary of Housing and Urban Development
 The Secretary of Transportation
 The Secretary of Energy
 Assistant to the President for National Security Affairs
 The Director, Office of Management and Budget
 The Administrator, Agency for International Development
 The Director, Arms Control and Disarmament Agency
 The Chairman, Council of Economic Advisers
 The Chairman, Joint Chiefs of Staff
 The Director of Central Intelligence
 The Administrator, Environmental Protection Agency
 The Administrator of General Services
 The Director, United States Information Agency
 The Chairman, National Science Foundation
 The Chairman, National Endowment for the Humanities
 The Director, National Aeronautics and Space Administration
 The Director, ACTION
 The Secretary, The Smithsonian Institution
 The President, Overseas Private Investment Corporation
 The Chairman, Federal Reserve System
 The Director, Office of Science and Technology Policy

Approved For Release 2005/08/08 : CIA-RDP86B00985R000100170008-6

TAB

A

Approved For Release 2005/08/08 : CIA-RDP86B00985R000100170008-6

NATIONAL SECURITY COUNCIL
WASHINGTON, D.C. 20506

UNCLASSIFIED

~~CONFIDENTIAL - GDS~~

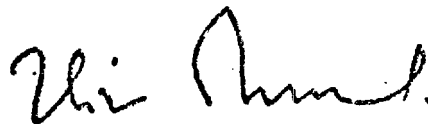
April 27, 1977

MEMORANDUM FOR: SEE LIST OF ADDRESSEES

SUBJECT: Coordination of Foreign Affairs
Research Sponsored by the
Federal Government

The responsibility for the coordination of foreign affairs external research, formerly handled by the NSC Under Secretaries Committee, will be given to the Secretary of State. The Secretary has designated the Director of the Bureau of Intelligence and Research to represent him in discharging this continuing responsibility, which includes information exchange, documentation, publication and other activities required to minimize duplication of effort; joint funding; measures to assure quality, utility and availability; and other matters requiring interagency consultation.

NSDM 98 is hereby rescinded.



Zbigniew Brzezinski

UNCLASSIFIED

~~CONFIDENTIAL - GDS~~

DECLASSIFIED

Auth: EO 11652

Date: 19 May 1977

By: MICHAEL J. SHERIDAN

NATIONAL SECURITY COUNCIL

UNCLASSIFIEDNATIONAL SECURITY COUNCIL
WASHINGTON, D.C. 20500~~CONFIDENTIAL - ALL INFORMATION CONTAINED HEREIN IS UNCLASSIFIED~~

April 27, 1977

TO: The Secretary of State
The Secretary of Defense

ALSO: The Secretary of the Treasury
The Attorney General
The Secretary of the Interior
The Secretary of Agriculture
The Secretary of Commerce
The Secretary of Labor
The Secretary of Health, Education
and Welfare
The Secretary of Housing and Urban
Development
The Secretary of Transportation
The Director, Office of Management and Budget
The Administrator, Federal Energy Administration
The Administrator, Agency for International
Development
The Director, Arms Control and Disarmament Agency
The Chairman, Council of Economic Advisers
The Chairman, Joint Chiefs of Staff
The Director of Central Intelligence
The Administrator, Energy Research and
Development Administration
The Administrator, Environmental
Protection Agency
The Administrator of General Services
The Director, United States Information Agency
The Chairman, National Science Foundation
The Chairman, National Endowment for the
Humanities
The Director, National Aeronautics and Space
Administration
The Director, ACTION
The Secretary, The Smithsonian Institution
The President, Overseas Private Investment
Corporation
The Chairman, Federal Reserve System

~~CONFIDENTIAL - ALL INFORMATION CONTAINED HEREIN IS UNCLASSIFIED~~**UNCLASSIFIED**

00112

Approved For Release 2005/08/08 : CIA-RDP86B00985R000100170008-6

TAB

B

Approved For Release 2005/08/08 : CIA-RDP86B00985R000100170008-6

U.S. DEPARTMENT OF STATE
BUREAU OF INTELLIGENCE AND RESEARCH
OFFICE OF EXTERNAL RESEARCH

EXTERNAL RESEARCH ON FOREIGN AFFAIRS AND FOREIGN POLICY

RESPONSIBILITIES

The Office of External Research (XR) is the institutional unit charged by the Department of State to:

1. Identify and meet the Department's needs for timely professional research assistance from the private sector;
2. Plan and commission scholarly research on the forces and factors likely to affect major areas of U.S. foreign policy concern in the years ahead;
3. Support the Department's leadership role in the interagency coordination of Government-sponsored research on foreign affairs;
4. Coordinate the Department's review for foreign policy sensitivity of foreign affairs research projects commissioned by other Federal agencies.

PROGRAMS AND
ACTIVITIES

In the discharge of its responsibilities, XR manages numerous programs and activities that involve or may be of interest to research scholars and experts. These include:

1. A program of research contracts, conferences, and consultant studies. Responsive to the policy needs of the Department, these vary greatly in purpose, scope, depth, immediacy, methodology, cost, and duration. Subjects studied range across all regional and functional areas of foreign affairs.
2. Interagency collaboration on research projects and programs in order to enhance the quality, availability, and utility of the products of Government-sponsored foreign affairs research.
3. A Foreign Affairs Research Documentation Center (see page 3).

SUBSTANCE OF
RESEARCH

The lines separating foreign affairs research from other categories of research are difficult to draw with precision. Generally, XR is concerned with research that focuses at least in part on recent, contemporary, or future:

1. Attributes, ideas, or behavior of non-U.S. individuals, groups, societies, or nations--including multinational and cross-national-comparative studies as well as historical studies that draw parallels with or lessons applicable to the contemporary scene;
2. Relations between and among nations or the relations between and among individuals or groups located in different nations;
3. Ways in which U.S. individuals, groups, ideas, attributes, or activities bear on the position or behavior of the United States in international affairs.

-2-

APPROACHES TO
RESEARCH

Generally, foreign affairs research uses the approaches or techniques of one or more of the basic or applied behavioral, social, or policy sciences (including their humanistic dimensions), singularly or in various multiple disciplinary combinations. This includes use of these techniques to study aspects or implications of U.S., foreign, or international science (physical, life, environmental, oceans, social, behavioral, etc.) and technologies (weapons, energy, industrial, agricultural, medical, etc.).

TYPES OF RESEARCH

As in many other fields, foreign affairs research can be categorized as exploratory, basic, applied, developmental, evaluative, policy, etc.; the term as applied here encompasses all such typologies. The Department of State's external research program uses the following commonsense typology:

1. Applied Research--
 - a. Policy Research--the purpose of which is to identify and weigh policy options, and sometimes make policy recommendations.
 - b. Policy-Related Research--the purpose of which is to examine situations, forces, factors, trends, etc., selected because they bear on identifiable instances of future policy choice.
2. Basic Research--the purpose of which is to advance and order data, propositions, methods, etc., in fields of knowledge (social and behavioral sciences and humanities, disciplinary or multi-disciplinary) selected because they are likely to illuminate matters that will figure in future but as yet unspecified policy choices.
3. Sponsored Research (performed by non-Government employees under a U.S. Government-awarded contract or grant)--
 - a. Includes awards to individuals, groups, or institutions for the support or development of advanced, professional research activities, projects, programs, institutions, etc.
 - b. Excludes awards made primarily for education or training (except awards for support of specific dissertations at the Ph.D level) or primarily for international educational and cultural exchange or similar purposes. (However, some awards made primarily for advanced, professional research purposes may include a training or other secondary purpose.)

ADDITIONAL
INFORMATION

Write or call: Director
Office of External Research
Room 6842 NS
Department of State
Washington, D.C. 20520
Tel: (202) 632-1342

-3-

FOREIGN AFFAIRS RESEARCH
DOCUMENTATION CENTER

WHAT IT IS

A Center that collects and disseminates:

1. Studies produced under Government awards to support research;
2. Unpublished or "fugitive" research papers prepared for academic and professional meetings and other recently completed unpublished studies; and
3. Information about current research projects supported through contracts and grants by offices and agencies of the U.S. Government.

PURPOSE

The principal goals of the Center are to:

1. Facilitate the exchange of information between Government officials and the private research community;
2. Facilitate cooperative projects among Government agencies;
3. Encourage the broader utilization of research results; and
4. Minimize duplication of effort.

Information contained in the Center alerts Government officials to:

1. Projects and completed studies related to their areas of responsibility;
2. Researchers working on specific topics of interest; and
3. Officers in other bureaus and agencies knowledgeable about their areas of concern.

SCOPE

Emphasis is on studies of foreign policy questions and of matters bearing on such questions.

CONTRIBUTORS
OF
STUDIES

1. Government: Foreign affairs, domestic, and foundation-type agencies when their research projects fall in the foreign affairs area.
2. Private Sector: Scholars, universities, and research centers.

PUBLICATIONS

Government-Sponsored Research on Foreign Affairs: Current Project Information. Quarterly listing of newly initiated research projects.
Foreign Affairs Research Papers Available. Monthly list of papers added to the Center collection.
Special Papers Available. Cumulative listings by area or subject of research papers previously cited in monthly Papers Available.

All publications receive wide distribution throughout the Government so that offices in all agencies may make use of the Center's services.

ADDITIONAL
INFORMATION

Write or call: Deputy Director for Research Services
Office of External Research
Room 432, SA-6
Department of State
Washington, D.C. 20520
Tel: (703) 235-8079

8/22/77

Approved For Release 2005/08/08 : CIA-RDP86B00985R000100170008-6

TAF

C

Approved For Release 2005/08/08 : CIA-RDP86B00985R000100170008-6

Department of State Review of
Government-Sponsored Research on Foreign Affairs

For some 12 years the Department of State has reviewed a large portion of the external foreign affairs research projects that other Government agencies proposed to fund in order to assess and minimize possible adverse effects of such projects on U.S. foreign policy. For the benefit of Government officers and other interested persons who may not be familiar with the review process, what follows is a brief description of the way in which this "Research Review Program" has developed over the years and a summary of the procedures followed by the Department in performing this function.

Steps to insure the propriety of Government-sponsored social science research in the area of foreign policy were first taken by the Department in August 1965. At that time the Secretary of State, at the request of the President,^{1/} created the Department of State Research Council (DSRC) to formulate Department policy for the review of Government-sponsored research on foreign affairs, examine certain ongoing research projects, and generally consider means of reducing foreign policy risks.

^{1/} The President's request was in response to the repercussions in Latin America and the United States of the Project Camelot affair. A large-scale, unclassified project sponsored by the U.S. Army to be carried out by foreign scholars and local opinion survey organizations in Latin America and elsewhere, Camelot was to include intensive study of insurgency and internal war potential. Research was still in its preliminary stages when, in Chile, the project's sponsorship by the U.S. Army as a "counter-insurgency" study was presented in such a way as to spotlight its most sensitive aspects, prompting attacks by Chilean leftwing elements and by political moderates throughout much of Latin America. Under mounting criticism of the project in this country as well, the Defense Department canceled Camelot early in July 1965.

Included as members of the DSRC were the Director of the Bureau of Intelligence and Research (INR), Chairman; the Deputy Director of the Policy Planning Staff, Deputy Chairman; and, as appropriate, representatives of the various geographic and functional bureaus in the Department of State. The makeup of the DSRC today remains the same. INR's Office of External Research (XR) provides staff support to the DSRC with the Director of XR serving as Executive Secretary.

In November 1965, after discussions with several other interested agencies, and with the approval of the Bureau of the Budget (now the Office of Management and Budget), the Department informed other Government agencies of the procedures it would follow in reviewing their external research on foreign affairs. These procedures are still in effect. In general, they:

1. Limit State Department review to Government-sponsored external research in the social and behavioral sciences dealing with international affairs or foreign areas and peoples, i.e., the Department claims no authority to review either privately funded social science research or so-called in-house research carried out entirely by employees of Government agencies; and

2. Focus the review process on questions of possible foreign policy sensitivity of proposed research projects rather than on the quality of the proposed research or the need for it.

-3-

Since the latter part of 1965, when the review process was first initiated, through March 1977, 1,099 projects have been submitted to the DSRC for appropriate action. Of these 887, approximately 81 percent, were either cleared or cleared conditionally, while only 28 projects, some 2.6 percent of the total, were disapproved, always for reasons pertaining to possible foreign policy sensitivity. Review actions on 23 projects were withdrawn or suspended at the request of the sponsoring agency, and 161 projects, although submitted for clearance, upon examination, did not require review, primarily because they focused on fields of research other than the social or behavioral sciences, or involved no field work or contact with foreign nationals. Of the 1,099 projects submitted to the DSRC, 261 were sponsored by the military agencies associated with the Department of Defense; 670 were sponsored by foreign affairs agencies, i.e., the Department of State, the Agency for International Development, the Arms Control and Disarmament Agency, the Central Intelligence Agency, ACTION, U.S. Information Agency, and the Overseas Private Investment Corporation; and 168 were sponsored by such domestic agencies as the Departments of Labor, Commerce, and the Treasury.

During this period 1,156 follow-up actions were also taken. These covered a wide range of responsibilities and services of three main types:

1. Review of ongoing projects, including renewals and extensions of projects and programs started before the formal clearance procedures were established, and later, review of modifications to projects cleared by the DSRC;

-4-

2. Clearance of plans for foreign travel or field work abroad. In general, the Department has asked that it be kept informed about all plans for foreign travel and/or field work of investigators working with Government funds.

3. Review of final reports. Many research proposals submitted to the DSRC for review deal with sensitive issues of foreign policy and national security. In a few cases, the DSRC has cleared such projects with the condition that the Department have an opportunity at an appropriate time to consider plans for publication.

The review process has provided the Executive Branch with a mechanism for careful, responsible, and authoritative estimates of the potential foreign policy sensitivity of Government-sponsored foreign affairs research projects and programs. Moreover, the mechanism has adapted to changes in the environment in which it operates. In general, these reflect an increased awareness on the part of the Government foreign affairs research community of the sensibilities of foreign governments and peoples and the proprieties of Government/academic relations. For example, as noted below (see footnote 4), the grant programs of certain agencies were exempted from review when it became clear that they supported self-directed research and thus posed few questions of foreign sensitivity.

In addition, the pattern of Government funding has shifted over the years. Department of Defense obligations for foreign affairs research went from a high of more than \$13 million in fiscal year 1967 to a total of only \$2.6 million in fiscal year 1976. Similarly, from August 1965 through

-5-

December 1969, 190 projects sponsored by military agencies were reviewed, while from January 1970 through March 1977, the total of such projects was only 71. Combined National Science Foundation and National Endowment for the Humanities funding, on the other hand, has risen from \$6.5 million in FY 1967 to \$10.3 million in FY 1976, and grants from both agencies are exempt from review.

The change toward greater sensitivity in the foreign affairs research environment was also reflected by the adoption in December 1967 of a set of Foreign Area Research Guidelines by Government agencies supporting foreign affairs research. The guidelines deal with what, from the point of view of Government-academic relations, are usually perceived to be the most troublesome cases of foreign area and foreign affairs research involving the social and behavioral sciences. Typically those cases involve a contractual relationship between a policy or operating department or agency of Government and an academic institution in which the latter undertakes to conduct research which the former has determined is needed in direct support of its policy or action responsibilities in the foreign affairs field.

Some agencies, such as the Agency for International Development, have also adopted policies of encouraging contractors to involve developing country institutions and personnel as participants in their foreign affairs research projects, the object being to develop and enlarge the capabilities of such institutions for carrying out research and implementing its findings.

-6-

Outline of Procedures^{2/}

What is the definition of "Government-sponsored foreign affairs research"?

Government-sponsored foreign affairs research includes all research in the social and behavioral sciences dealing with international relations, or with foreign areas and peoples, conducted in the United States or abroad by non-Government researchers, and supported by U.S. Government agency contracts or grants.

Which foreign affairs research projects require DSRC clearance?

All projects that are sponsored by military and foreign affairs agencies and involve foreign travel or contact with foreign nationals must be cleared.^{3/}

What information is required on projects submitted for DSRC clearance?

As a general rule, sponsoring agencies should submit the following information to the State Department before a grant is awarded or a contract is concluded:

- Title and brief description of project.
- Sponsoring agency or agencies (including information on any funding by other agencies).
- Contractor, estimated cost, and principal researchers.

^{2/} For more detailed information, see Procedures for Department of State Review of Government-Sponsored Foreign Affairs Research, November 18, 1965, and Guidelines for the Review of Domestic Agency Research by the Department of State Research Council, February 1972. Both of these documents are available from the Office of External Research.

^{3/} The agencies involved are: the Department of Defense, the U.S. Information Agency, the Agency for International Development, the Arms Control and Disarmament Agency, the Central Intelligence Agency, and the Department of State.

-7-

- Detailed information on project: hypotheses to be investigated, methods, schedules, types of findings anticipated, countries or regions covered.
- If the project involves field work abroad, names of researchers, indication of time of proposed field work, and extent and types of contact with foreign nationals.
- Extent to which discussion with a U.S. diplomatic mission has already been held in the formulation of the project proposal.
- Classification of project and proposed disposition of reports.

Is DSRC clearance required for projects supported by domestic agencies?

Clearance is required if, in the opinion of responsible agency officials, it appears that the conduct of such research might have adverse effects on U.S. foreign relations.^{4/}

Who decides if DSRC clearance for domestic agency projects is necessary?

Each agency of the Federal Government has a designated clearance point that is responsible for reviewing projects and deciding whether or not a project requires DSRC clearance.

What types of projects supported by domestic agencies are likely to be sensitive?

STAT

^{4/} Grants of the National Science Foundation, the National Endowment for the Humanities, and the National Institutes of Health, as well as grants awarded under the Fulbright-Hays program or the National Defense Education Act, have been exempted from review by the DSRC.

-8-

STAT

STAT

Further information may be obtained from:

Office of External Research
Attn: Deputy Director for Research Services
Room 432, SA-6

Department of State
Washington, D.C. 20520
Tel: (703) 235-8079

8/22/77

Approved For Release 2005/08/08 : CIA-RDP86B00985R000100170008-6

TAB

D

Approved For Release 2005/08/08 : CIA-RDP86B00985R000100170008-6

STAT

Approved For Release 2005/08/08 : CIA-RDP86B00985R000100170008-6

Next 3 Page(s) In Document Exempt

Approved For Release 2005/08/08 : CIA-RDP86B00985R000100170008-6